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DEFENSE SECURITY COOPERATION AGENCY (DSCA)

FY 2015 Annual Ethics Training

Sponsored by the Office of General Counsel





Annual Training Requirements

Note, 100% compliance with the annual Ethics training requirement is expected from all civilian, military, and contractor personnel with DSCA, Regional Centers, and Field Activities.

Staff must complete the “Automated Proof of Training” slide at the end of this module to ensure the Office of General Counsel receives proof that you have met the requirement. You should also print a copy of your certificate of completion for your records.



COVERED TOPICS

- OVERVIEW OF CORE ETHICS LAWS & IMPLEMENTING REGULATIONS
- GIFTS OF TRAVEL
- TEACHING, SPEAKING & WRITING RULES
- FUNDRAISING RULES
- PARTISAN POLITICAL ACTIVITY RULES



OVERVIEW OF ETHICS LAWS

Criminal Ethics Laws that govern Federal service in summary:

- Don't accept a bribe.
- Don't represent or accept money for representing another's interests before the U.S. Government.
- Don't take official action that will affect your personal financial interests as well as those of your spouse, children and prospective employer.
- Don't accept payment from another for the performance of your Federal duties.



SEEKING & POST- GOVERNMENT EMPLOYMENT LAWS



SEEKING POST- GOVERNMENT EMPLOYMENT

RULE: Under the conflict of interest law, when seeking post-Federal employment outside of the Federal Government, you **MUST:**

➤ ***Disqualify*** yourself from official participation in any particular matter that has a direct and predictable effect on the financial interests of entities with whom you are discussing future employment.

VIOLATIONS CAN BE PROSECUTED.



POST-GOVERNMENT EMPLOYMENT REPRESENTATIONAL BARS 18 U.S.C. § 207

After leaving the Federal Government, former employees are subject to additional **CRIMINAL** restrictions that may limit their interactions with the Federal Government when representing the interests of another person or entity.



BOTTOM LINE

These rules are *complicated*, *SO* if you:

- Start looking for future employment or want to understand how you will be permitted to interact with the Federal Government after you leave:

**Please contact your DSCA/OGC Ethics Official at
(703) 604-0297 for advice.**



ADDITIONAL ETHICS RULES

Overview

- The Federal Standards of Conduct provide:
- **Conflicting Financial Interests.** Employees must **disqualify** themselves from an official matter if that matter will affect their financial interests, unless an exception or exemption applies.
- **Impartiality.** (AKA, THE WASHINGTON POST TEST)
Employees should **disqualify** themselves from taking action in an official matter if a reasonable person would have a basis to question their impartiality.

TIP: In both cases, disqualification should be in writing.

ADDITIONAL ETHICS RULES

- **Misuse of Position.** Employees may not use Government resources, including their official position and the authority of their office, for private gain, whether by:
 - improper endorsement,
 - disclosure of non-public information, or
 - misuse of Government resources, including official time of themselves or subordinates.



ADDITIONAL ETHICS RULES

- **Gifts from outside sources.** Employees may not solicit or accept gifts from outside sources given because of their official position or by a prohibited source, unless an exception or exclusion applies.
- **Gifts between employees.** Superiors should not accept and employees should not give gifts to superiors, unless an exception applies.
- **Group gifts.** For departing officials:
 - contributions must be strictly **voluntary**;
 - solicitations must be **nominal** (\$10); and
 - group gift may not exceed \$300 in value.



ADDITIONAL ETHICS RULES

- **Prior approval for certain employment:** Current financial disclosure filers must obtain prior written approval for off-duty non-Federal employment with a prohibited source (e.g., a defense contractor) before engaging in the outside activity.



TAKE AWAY!

- The rules set a minimum standard of conduct.
- The question you should be asking is, even if legal, **is my proposed action the right thing to do?**
- Ask whether your actions:
 - Are in the best interest of DoD;
 - Serve to enhance public confidence in DoD programs and operations; or
 - Will cause the public to question your integrity or impartiality.



GIFTS OF TRAVEL

- DSCA employees may be offered gifts of travel (e.g., transportation, meals, and/or lodging)
- There are several legal authorities under which such gifts may be accepted. It is critically important that you contact DSCA/OGC when you are offered any gift of travel to ensure it is accepted (or rejected) appropriately.
- A traveler who accepts a gift of travel inappropriately may be subject to disciplinary action and may be required to pay the US Treasury the value of the gift out of personal funds.



TRAVEL ETHICS

- Frequent flyer miles belong to traveler.
- Can generally accept upgrades (military members are generally prohibited from wearing uniform when traveling in business or first class to avoid misperception of misuse of government resources).
- Benefits offered for being involuntarily “bumped” belong to USG; benefits offered when voluntarily “bumped” may be kept for personal use if: 1) no interference with official duties, 2) traveler bears any additional expenses, and 3) traveler charged leave for any resulting travel delays during duty hours.
- Cannot be reimbursed twice for same travel expense.
- If you go shopping on an overseas trip, be aware there are legal restrictions on importing counterfeit goods into the U.S. and they may be subject to seizure by U.S. Customs.



TEACHING, SPEAKING & WRITING (TSW)



TSW GENERAL RULES

Under law and implementing regulations, Federal personnel may, under certain conditions and with prior approval from a supervisor:

- teach
- engage in public speaking
- and write scholarly articles



THE MOST IMPORTANT QUESTIONS WHEN CONSIDERING TEACHING, SPEAKING, AND WRITING (TSW) OPPORTUNITIES

- Are you being offered compensation for your TSW?
- Is the TSW “related” to your Federal job?
- What prior approvals and clearances are required?



TSW GOVERNING RULES

Criminal Prohibitions:

You **MAY NOT** accept compensation from any non-Federal source for performing your Federal duties (your job). 18 U.S.C. 209.

You **MAY NOT** take any official action that has a direct and predictable effect upon your financial interests (including the interests of an entity which has offered to compensate you for TSW. 18 U.S.C. 208.

Administrative Rule

You **MAY NOT** accept compensation for TSW that relates to your Federal job. 5 C.F.R. 2635.807. A violation may result in disciplinary action including separation.



TSW RELATES TO YOUR DOD DUTIES IF:

- It is undertaken as part of your duties;
- It is **offered PRIMARILY because of your position**, not your subject matter expertise;
- The **offeror's interests** may be affected substantially by performance or nonperformance of your job;
- The **activity "draws substantially"** on ideas/data that are **nonpublic information; or**



TSW RELATES TO YOUR DOD DUTIES IF:

- The TSW **subject matter** deals "**in significant part**" with:
 - Matters to which you're assigned, or were assigned during the previous year;
 - Ongoing or announced DoD policies, programs, or operations



NEED FOR A DISCLAIMER

IF you use your military or civilian grade, title, or position as one of several biographical details given to identify yourself in connection with TSW, you need to publish a disclaimer IF:

- *The subject deals in significant part with any ongoing or announced policy, program or operation of your DoD Agency; and*
- *You have not been authorized by appropriate Agency authority to present that material as the Agency's position.*
- *An appropriate disclaimer states that these are the speaker's/author's personal views and not necessarily those of the Department or Federal Government.*



TEACHING CLASSES

- With **agency approval**, you are permitted to
- **Teach a course** (multiple presentations*) and receive compensation if it is
- Offered **as part of either**:
 - The **regular curriculum** of qualifying institutions of higher learning;
 - Elementary schools; or
 - Secondary schools.
- **OR**
- Is a program of education/training sponsored and funded by the Federal government or by a state/local government other than those above.

***If multiple presentations are not involved, this should be viewed as a speaking engagement with payment viewed as honoraria.**



NON-CAREER SES EMPLOYEES

To receive compensation for teaching you must:

- Submit a written request to DSCA's Deputy Designated Agency Ethics Official (DDAEO) **AND**
- Receive specific authorization from DSCA's DAEO in advance.



TRAVEL AND MEAL EXPENSES PROVIDED IN CONNECTION WITH TSW



Under certain situations, travel and meal expenses may be accepted. Consult your Ethics official for advice in advance in those circumstances.



SECURITY REVIEW FOR RELEASE OF INFORMATION

A security review is generally required before releasing official information to the public consistent with DoD Instruction 5230.29.



TEST YOUR KNOWLEDGE

- You receive an invitation, at the office, inviting you to speak at an event hosted by a non-Federal entity. The sponsor of the event offers to pay you an honorarium for speaking. The topic of the speech is related to your area of expertise and to your DoD duties. May you speak and accept the honorarium at the event?



TEST YOUR KNOWLEDGE

Pick the correct answer:

1. Without consulting your supervisor, you decide that speaking at the event will further DoD's mission, so you accept the invitation and the honorarium.
2. After consulting your boss, who concludes your speaking at the event will support DoD's mission, you accept the invitation and the honorarium.
3. After consulting your boss, who concludes your speaking at the event will support DoD's mission, you accept the invitation but not the honorarium.

Select
Answer:

1

2

3



TEST YOUR KNOWLEDGE

Answer:

- You picked 1. **Incorrect.** Although you believe speaking at the event may further DoD's mission, you must consult with your supervisor before accepting the invitation. Your supervisor may determine that the event is not an appropriate forum for you to speak. Further, if you are speaking as a DoD employee (in your official capacity), you may not accept an honorarium as you are already being paid by DoD to perform your duties. (18 U.S.C. 209 is a statute that prohibits you from being paid by a non-Federal source to perform your official duties.) The correct approach is to discuss the invitation with your supervisor and, if a determination is made that the event is an appropriate forum for you to speak, accept the invitation, but not the honorarium.



TEST YOUR KNOWLEDGE

Answer:

- You picked 2. **Incorrect.** While you correctly discussed the invitation with your supervisor beforehand, and your supervisor authorized you to speak at the event, you must decline the honorarium even if your supervisor determines that this is an appropriate forum for you to speak. This is because a criminal statute, 18 U.S.C. 209, prohibits Federal personnel from accepting payment from a non-Federal source for performing official duties.



TEST YOUR KNOWLEDGE

Answer:

- You picked 3. **Correct.** While you correctly discussed the invitation with your supervisor beforehand, and your supervisor authorized you to speak at the event, you must decline the honorarium even if your supervisor determines that this is an appropriate forum for you to speak. This is because a criminal statute, 18 U.S.C. 209, prohibits Federal personnel from accepting payment from a non-Federal source for performing official duties.



FUNDRAISING



FUNDRAISING

What do you need to know?

- Generally, ***fundraising is prohibited*** in the Federal workplace.
- The government must be neutral to retain the public's confidence, so we must ensure a level playing field for all non-Federal entities.



FUNDRAISING

What is fundraising?

- The raising of funds for a **nonprofit entity** through:
 - **Soliciting funds;**
 - **Selling items;** or
 - Employee official **participation in the conduct of an event** where any part of the cost of attendance or participation may be taken as a charitable tax deduction by a person incurring that cost.



What is not fundraising?

- In-kind collection of items (non-cash), like food or toy drives.



3 EXCEPTIONS TO THE FUNDRAISING BAN IN THE WORKPLACE

- Combined Federal Campaign.
- When the Director of the Office of Personnel Management authorizes a solicitation for emergencies or disasters.
- Among the members for the benefit of the members.



COMBINED FEDERAL CAMPAIGN (CFC)

- CFC is the only authorized solicitation of employees in the Federal workplace on behalf of charitable organizations.
- Campaign period generally runs from September through December annually when no other solicitation in the Federal workplace may occur.
- DoD personnel participation may be encouraged but is not mandated.
- DoD personnel may **NOT** :
 - Encourage contributions to a specific charity, even if it is a CFC participant.
 - Solicit non-DoD personnel or entities, including contractor, Credit Union employees, or other non-Federal entities or individuals.



DISASTER OR EMERGENCY RELIEF

- Defined: hurricanes, tornadoes, storms, floods or other catastrophes.
- Only the Office of Personnel Management Director may grant permission for solicitations of Federal personnel in the Federal workplace outside of the CFC in support of victims of emergencies and disasters.
- Recent examples include the Japanese tsunami in 2011 and the Haitian earthquake in 2010.



AMONG THE MEMBERS FOR THE BENEFIT OF THE MEMBERS

- Organizations composed primarily of DoD personnel and their dependents may conduct fundraising when:
 - When fundraising among their own members for the benefit of welfare funds for their own members or their dependents; or
 - When approved by the head of the DoD component command or organization.
- Consultation with an Ethics official is recommended for proposed fundraisers.



ATTENDING A FUNDRAISER

General Rules

➤ The Federal Standards of Conduct prohibit you, in your official capacity from “actively and visibly participating in the promotion, production, or presentation of the event.” This includes:

- Requesting or encouraging the **giving of donations**;
- Serving as **honorary chairperson**;
- Sitting at the **head table**;
- Standing in a **reception line**; or
- Serving as **master of ceremonies**.

But **NOTE:**

- You may give an **official speech** at a non-profit fundraiser and not seek donations or otherwise endorse the organization.



FUNDRAISING

➤ **May Federal Personnel participate in fundraising in their personal capacity?**

Yes, provided fundraising activities are conducted outside the Federal workplace and on personal time.

So be careful not to:

- Use DoD resources, including email and photocopiers.
- Participate in your official capacity (do not allow use of your title or other DoD affiliation).
- Solicit subordinates, DoD contractors, or other prohibited sources.



TEST YOUR KNOWLEDGE

You are asked to sell tickets to subordinates in the workplace for a fundraising event sponsored by a nonprofit organization that helps military spouses. May you sell the tickets?

Select
Answer:

Yes

No

5



TEST YOUR KNOWLEDGE

Answer:

- You picked YES. Unfortunately, that is not correct. You may not solicit subordinates in the workplace—and collecting money for tickets is fundraising. The CFC has been established as the *sole* fundraising event in the Federal workplace. The only exceptions are in a response to an emergency or disaster declared by the Director of OPM, or when personnel fundraise among the members of an organization for the benefit of the members of that organization. None of these situations exist here.



TEST YOUR KNOWLEDGE

Answer:

- You picked NO. That is correct! This fundraising event has not been authorized either by CFC or by the Director of OPM, and it is not a fundraiser among the members of your organization for the benefit of the members of your organization. Further, supervisors may never solicit subordinates.



HATCH ACT



Restrictions on Partisan Political Activities of Civilians



HATCH ACT

Restrictions on Partisan Political Activities of Civilians

RULE: The Hatch Act restricts partisan political activities of civilian DoD employees.

- DoD policy further restricts the partisan political activities of certain political appointees.

Military Personnel: Have similar rules which are described in DoD Directive 1344.10, Political Activities by Members of the Armed Forces



HATCH ACT

Restrictions on Partisan Political Activities of Civilians

General Policy Highlights: At DoD there are two categories of civilian employees - “further” and “less” restricted.

- **Further Restricted:** Presidential appointees confirmed by the Senate; non-career and career Senior Executive Service employees; Members of the Contract Appeals Board; and employees of NSA, DIA, NGA (e.g., strictly limited).
- **Less Restricted.** All others. Generally, most DoD civilians (GS, WG, Schedule C, etc.) may engage in partisan political activity, **but only** during **non-duty** hours & **outside the Federal workplace** (*this includes Schedule C political appointees*).



What is Political Activity?

Political Activity is an activity directed toward the success or failure of:

- a political party;
- a candidate for partisan political office (beginning with fundraising or declaration of candidacy); OR
- a partisan political group

Non-Partisan. Any activity not associated with the success of a political party or candidate for partisan political office.



What is Political Activity?

Examples of Political Activity:

- Serving as a delegate to a political party convention.
- Wearing a partisan political button in the office.
- Working for a political party at the polls on election day.
- Using office email to forward campaign information.
- Soliciting contributions for a candidate for partisan office.



What is Not Political Activity?

Not Partisan. Activity of a non-partisan nature, including:

- Participating in non-partisan activities of a civic, community, social, labor, or professional organization, such as nonpartisan voter registration efforts.
- Campaigning for or against non-partisan issues, such as referendum questions, constitutional amendments, or municipal reforms.
- Taking an active part, as a candidate or in support of a candidate, in a non-partisan election (e.g., referendum questions, municipal ordinance.)
- Serving as an election official or clerk, or in a similar position, performing non-partisan duties as prescribed by state or local law.



All DoD Civilians ...

MAY:

- Vote.
- Make a financial contribution to a campaign.
- Express personal opinions about candidates and issues.
- Sign nominating petitions.
- Attend political rallies and meetings.
- Participate in nonpartisan activities.



All DoD Civilians ...

MAY NOT

- Run for partisan office.
- Engage in political activity **ON DUTY or IN THE FEDERAL WORKPLACE** (do not use DoD email account!)
- Solicit, accept, or receive political contributions.
- Misuse official authority to affect an election.



TEST YOUR KNOWLEDGE

Scenario 1: Brad receives a hilarious email that spoofs the current candidates for President on his DoD email account while at work. **Has Brad violated the Hatch Act?**

SELECT THE POSSIBLE ANSWER:

- ☐ **Yes** Receiving any partisan emails on government computer constitutes prohibited political activity as defined under the Hatch Act.
- ☐ **No** Simply receiving a partisan political e-mail while at work, does not constitute prohibited political activity as defined under the Hatch Act. However, Brad must not send or forward the e-mail to others.



TEST YOUR KNOWLEDGE

Answer:

- Yes is incorrect. Brad has not violated the Hatch Act. The Act prohibits employees from engaging in an activity directed toward the success or failure of a political party, candidate for partisan political office or partisan political group while in a Federal building. Simply receiving an email at work is not a violation. This is because, in theory, we cannot control what may be sent to us at work. However, it would be a violation for you to forward political emails – including – jokes and humorous emails – to other people from your DoD account. The only exception to this rule, is that you may forward a partisan email from your DoD account to your personal email account. Finally, you may not forward partisan emails from your personal email account while using DoD equipment or while in a Federal building.



TEST YOUR KNOWLEDGE

Answer:

- You are correct! Brad has not violated the Hatch Act. The Act prohibits employees from engaging in an activity directed toward the success or failure of a political party, candidate for partisan political office or partisan political group while in a Federal building. Simply receiving an email at work is not a violation. This is because, in theory, we cannot control what may be sent to us at work. However, it would be a violation for you to forward political emails – including – jokes and humorous emails – to other people from your DoD account. The only exception to this rule, is that you may forward a partisan email from your DoD account to your personal email account. Finally, you may not forward partisan emails from your personal email account while using DoD equipment or while in a Federal building.



Less Restricted Civilians...

MAY:

- Join and be active members of a political party or club (organize political meetings or rallies, distribute campaign literature, serve as officer or delegate of a political party or campaign, volunteer at candidate's campaign office)
- Help organize political fundraising events (but **no** soliciting, accepting, or receiving of political contributions)



Further Restricted Civilians

...

MAY NOT:

- Take an active role in partisan political management or political campaigns.
- Distribute campaign literature for a candidate for partisan office.
- Organize a political rally or fundraiser for a political party.
- Hold political party office or be a delegate to a party convention.
- Host a fundraiser for a candidate for partisan office.



TEST YOUR KNOWLEDGE

Scenario 2: Susan is a career SES employee (further restricted). She has been invited to attend a fundraiser for a partisan candidate. **May she attend?**

SELECT THE POSSIBLE ANSWER:

Yes

S

She may attend, but she may not volunteer or work for the candidate at the fundraising event.

No

She may not attend. Further restricted employees are prohibited from taking an active part in all partisan activities.



TEST YOUR KNOWLEDGE

Answer:

- Yes is correct! Susan may attend the fundraiser. The Hatch Act expressly prohibits further restricted employees from taking an active part in partisan political management or political campaigns, but mere attendance is not active participation. More specifically, further restricted employees are prohibited from engaging in any political activity which is "in concert" with a political party, partisan political group or candidate for partisan political office. "In concert" activity is any activity that is sponsored or supported by a political party, partisan political group or candidate for partisan political office. Further, these employees are not prohibited from expressing their personal views at such an event.

*****They may not however, actively participate in any policy planning or political strategy sessions for candidates for partisan political office or political parties. *****



TEST YOUR KNOWLEDGE

Answer:

- No is incorrect! Susan may attend the fundraiser. The Hatch Act expressly prohibits further restricted employees from taking an active part in partisan political management or political campaigns, but mere attendance is not active participation. More specifically, further restricted employees are prohibited from engaging in any political activity which is "in concert" with a political party, partisan political group or candidate for partisan political office. "In concert" activity is any activity that is sponsored or supported by a political party, partisan political group or candidate for partisan political office. Further, these employees are not prohibited from expressing their personal views at such an event.

*****They may not however, actively participate in any policy planning or political strategy sessions for candidates for partisan political office or political parties. *****



Hatch Act Penalty

The Office of Special Counsel (OSC) has exclusive jurisdiction over investigation and enforcement of the Hatch Act rules.

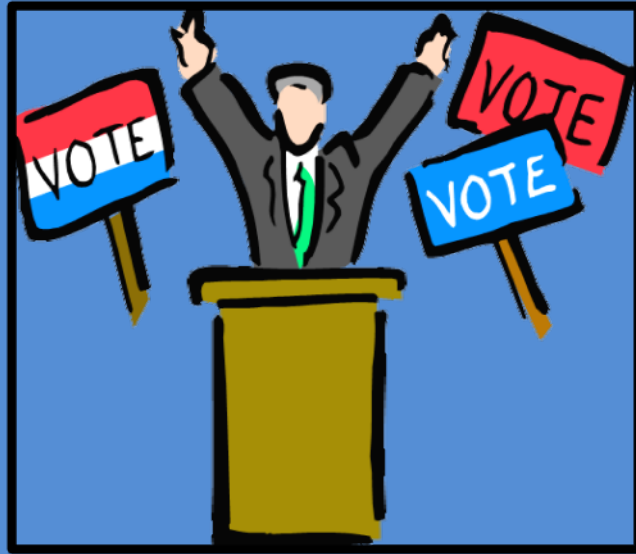
BEWARE! DoD civilians must scrupulously comply with the Hatch Act restrictions.

PENALTY:

- **Political Appointees.** OSC will make a recommendation for discipline to the White House.
- **All Others.** ***Removal.*** For most employees, the Hatch Act imposes a presumptive penalty of removal from Federal service for a knowing violation. The minimum penalty for a Hatch Act violation is a 30-day suspension without pay.



NOW, A QUICK WORD ON POLITICAL FUNDRAISING



DON'T ENGAGE IN POLITICAL FUNDRAISING

Authority to do so is very limited.
Seek Ethics guidance first. **PLEASE!!**



POLITICAL FUNDRAISING

- Generally, DoD personnel may **NOT** solicit, accept, or receive political contributions in either an official or personal capacity, *except* under a narrow exception for Federal unions.
- Employees are prohibited 24 hours a day, 7 days a week (except for the limitation noted above) from soliciting, accepting, or receiving political contributions.



POINTS OF CONTACT

➤ **Deputy DAEO**

- DSCA, General Counsel

➤ **Designated Agency Ethics Counselors**

- DSCA, Deputy General Counsel
Headquarters and Local Regional Centers: ACSS, WJPC, & NESAC
- Judge Advocate General, APCSS
- Judge Advocate General, GCMC

**If you have any questions, please contact the Ethics Program Manager at
DSCA-OGC@dscamil**





CONGRATULATIONS!

You have successfully completed your FY 2015 Ethics training requirement. Thank you for your compliance with the U.S. Government Ethics requirements! To ensure you receive credit for meeting this annual requirement, click the link below to complete the [automated email notification](#) as well as obtain a copy of your certificate for your records.

(CLICK HERE)

